

Schedule 5 and Schedule 6 Information for ADR Bodies

The Alternative Dispute Resolution for Consumer Disputes (Competent Authorities and Information) Regulations 2015, require you to supply the competent authority (Chartered Trading Standards Institute) with your Schedule 5 (annual) and Schedule 6 (biennial) reports when they are due.

The Schedule 5 report must be supplied every year (including when you also supply your biennial report) and must be made available on your website as per the legislation. The Schedule 5 report must be supplied to the competent authority and uploaded onto the website within a month of the anniversary of your date of approval as an approved ADR body.

The Schedule 6 report must be supplied biennially and is not required to be available on your website, only sent to the competent authority. The years that you supply the biennial report, you still must supply an annual report in addition. The Schedule 6 report must be supplied to the competent authority within a month of the anniversary of your approval date. The information (data) (as per section 11.3 of the legislation) is to cover the whole (totals) of the 2-year reporting period.

All details of what must be included in the reports can be found below.

This is the minimum data required for reporting, but any other or extra data supplied would be much appreciated for further insight.

As of 1st January 2021, there have been several amendments made to the legislation due to Brexit. It is no longer a requirement of the legislation to handle cross-border disputes and report on these disputes. However, if you continue to handle cross-border disputes, we would ask that you supply any information in relation to these cases.

Additionally, if your ADR scheme's outcome is binding on either party, please provide us with the percentage of whether the outcome was ruled in the consumer or trader's favour at the end of the Schedule 5 and Schedule 6 report.

Schedule 5 - OCCS – 01.11.2024-31.10.2025

Information to be included in an ADR entity's annual activity report

- (a) the number of domestic disputes the ADR entity has received;
(*This is the total number including enquiries received, cases handled and disputes rejected*)

| No. enquiries received (domestic) | No. enquiries received (cross-border) | No. disputes received (domestic) | No. disputes received (cross-border) | No. disputes accepted (continued to case) (domestic) | No. disputes accepted (continued to case) (cross-border) |
|-----------------------------------|---------------------------------------|----------------------------------|--------------------------------------|--|--|
| 1984 | 14 | 1984 | 0 | 1897 | 0 |

- (b) the types of complaints to which the domestic disputes and cross-border disputes relate;

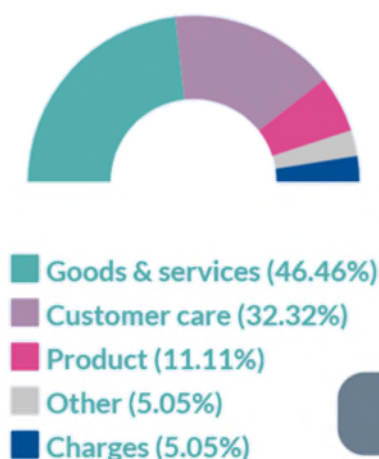
Types of disputes:

- Please see Appendix 1 – Nature of Complaint analysis

- (c) a description of any systematic or significant problems that occur frequently and lead to disputes between consumers and traders of which the ADR entity has become aware due to its operations as an ADR entity;

The OCCS publishes a detailed annual report which is also presented to the General Optical Council (the regulator of the optical profession).

Nature of complaint



- (d) any recommendations the ADR entity may have as to how the problems referred to in paragraph (c) could be avoided or resolved in future, in order to raise traders' standards and to facilitate the exchange of information and best practices;

Please see the detail provided in the 2025 OCCS Annual Report - <https://www.opticalcomplaints.co.uk/occs-annual-report-2024-25/>

- (e) the number of disputes which the ADR entity has refused to deal with, and the percentage share of the grounds set in paragraph 13 of Schedule 3 on which the ADR entity has declined to consider such disputes;

| | |
|--------------------------------|---------------------|
| Total no. of disputes rejected | 99 * see note to a) |
|--------------------------------|---------------------|

| Reason | No. rejected | Percentage of rejected |
|--|---|---|
| a) the consumer has not attempted to contact the trader first | 706 | *The OCCS does not consider these enquiries to be rejected. The OCCS supports local resolution by assisting the consumer to return to the practice and raise or progress their complaint effectively. Less than 5% then return to the OCCS for full resolution having exhausted the local complaint process |
| b) the dispute was frivolous or vexatious | 0 | |
| c) the dispute had been previously considered by another ADR body or the court | 0 | |
| d) the value fell below the monetary value | 0 – OCCS does not have a financial de minimis | |
| e) the consumer did not submit the disputes within the time period specified | 9 | |
| f) dealing with the dispute would have impaired the operation of the ADR body | 0 | |

| | | |
|---|-------------------------|--|
| g) other (enquired too early, not yet complained to trader, trader not member, advice call etc... | 90 See Below: | |
|---|-------------------------|--|

| | | |
|--|----|--|
| g) Further breakdown | | |
| Consumer seeking clinical negligence compensation | 16 | |
| Concerns referred to the GOC – regulatory/impaired fitness to practice | 4 | |
| Complaint did not relate to optical care | 9 | |
| Complaint did not concern a GOC regulated practice or professional | 61 | |
| | 90 | |
| Non UK | 14 | |

(f) the percentage of alternative dispute resolution procedures which were discontinued for operational reasons and, if known, the reasons for discontinuation;

| | No. discontinued | Percentage of discontinued |
|--------------------------------------|-------------------------|-----------------------------------|
| Discontinued for operational reasons | 0 | 0% |

Reasons for discontinuation:

(g) the average time taken to resolve domestic disputes and cross-border disputes;

| | Domestic | Cross-border |
|---|---|---------------------|
| Average time taken to resolve disputes (from receipt of complaint) | 69 days | - |
| Average time taken to resolve disputes (from 'complete complaint file') | The OCCS measures timescales from receipt of the Agreement to Mediate from the consumer, so this data represents an extended period as the 'complaint file' would be complete once information and records are received from the practice | - |

| | |
|--|---------|
| Total average time taken to resolve disputes | 69 days |
|--|---------|

- (h) the rate of compliance, if known, with the outcomes the alternative dispute resolution procedures (amongst your members, or those you provide ADR for)

The OCCS used mediation techniques to resolve consumer complaints and therefore the parties agree the outcome. As such, the parties comply with the agreed resolution.

(i) This point has been removed in amendments on 1 January 2021

Please add any additional information or data you think might be useful or interesting at the bottom of this report.

Please see the detail provided in the 2025 OCCS Annual Report - <https://www.opticalcomplaints.co.uk/occs-annual-report-2024-25/>